



Sheet 1 of 2

<b>INFORMATION DISCLOSURE CITATION LIST</b>	<b>Docket No.:</b> 3753/6	<b>Application No.:</b> 09/507,360
	<b>Applicants:</b> David R. Gottstein	
	<b>Filing Date:</b> February 18, 2000	<b>Group Art Unit:</b> <del>2165</del> 3624

**U.S. PATENT DOCUMENTS**

Exam. Init.	Document Number	Date	Name	Class	Subclass
AB	5,987,433	11/16/99	Crapo		
	5,978,778	11/2/99	O'Shaughnessy		
	5,893,079	4/6/99	Cwenar		
	5,864,828	1/26/99	Atkins		
	5,852,811	12/22/98	Atkins		
	5,806,049	9/8/98	Petruzzi		
	5,806,048	9/8/98	Kiron et al.		

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APR 16 2001  
Group 2100

**FOREIGN PATENT DOCUMENTS**

Exam. Init.	Document Number	Date	Country	Class	Translation

**OTHER DOCUMENTS** (including Author, Title, Date, Pertinent Pages, etc.)

AB	Apelfeld et al., "Tax-Aware Equity Investing", Journal of Portfolio Management, v22, n2, p18 (11), Winter 1996
AB	Brunel, Jean L.P., "The Upside-Down World of Tax-Aware Investing", Trusts & Estates, 136, n3, 34 (8), February, 1997

Examiner: <i>AB</i>	Date Considered: 8-20-03
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**U.S. PATENT DOCUMENTS**

Exam. Init.	Document Number	Date	Name	Class	Subclass
OB	5,802,501	9/1/98	Graff		RECEIVED
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OB	Price, Lee N., "Maximizing and Reporting a Portfolio's After-Tax Performance", Trusts & Estates, 136, n3, 55 (5), February, 1997
OB	PR Newswire, "Prudential Introduces the Prudential Tax-Managed Equity Fund; Fund Seeks Long-Term After-Tax Growth of Capital", January 27, 1999
OB	Stein, David M., "Measuring and Evaluating Portfolio Performance After Taxes", Journal of Portfolio Management, v24, n2, p117 (8), Winter 1998

Examiner: <i>OB</i>	Date Considered: 8-20-03
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